



Filing ID #10026793

FINANCIAL DISCLOSURE REPORT

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FILER INFORMATION

Name: Hon. Susan W. Brooks
Status: Member
State/District: IN05

FILING INFORMATION

Filing Type: Annual Report
Filing Year: 2018
Filing Date: 05/15/2019

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Insurance ⇒ MET LIFE UNIVERSAL LIFE INSURANCE POLICY [WU]		\$15,001 - \$50,000	None		<input type="checkbox"/>
IRA ⇒ AMERICAN EUROPACIFIC GROWTH FU CL F2 (AEPFX) [MF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ American Funds Washington Mutual Investors Fund Class F2 (WMFFX) [MF]		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ Baron Small Cap Fund Institutional Class (BSFIX) [MF]		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ DEUTSCHE SECS TR ENHANCED COMMODITY STRAT FD INSTL CLASS (SKIRX) [MF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
IRA ⇒ Eaton Vance Income Fund of Boston Class I (EIBIX) [MF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
IRA ⇒ Edgewood Growth Fund Class Institutional (EGFIX) [MF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ GOLDMAN SACHS TR FINL SQUARE TREAS INSTRS FD (FTIXX) [MF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ HARBOR FD CAP APPRECIATION FD INSTL CL (HACAX) [MF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
IRA ⇒ Janus Henderson Flexible Bond Fund Class I (JFLEX) [MF]		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ Lazard Emerging Markets Equity Portfolio Institutional Shares (LZEMX) [MF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ MFS SER TR I VALUE FD CL I (MEIIX) [MF]		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ MFS SER TR X EMERGING MKTS DEBT FD CLASS I (MEDIX) [MF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ Oppenheimer International Growth Fund Class Y (OIGYX) [MF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ PRINCIPAL FUNDS INC GLOBAL REAL ESTATE SECS FUND INSTL CLASS (POSIX) [MF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
IRA ⇒ T. Rowe Price Mid-Cap Growth Fund (RPMGX) [MF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ T. Rowe Price Overseas Stock Fund (TROSX) [MF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ T. Rowe Price Real Estate Fund (TRREX) [MF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ Victory Sycamore Small Company Opportunity Fund Class I (VSOIX) [MF]		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
IRA ⇒ Virtus Ceredex Mid-Cap Value Equity Fund Class I (SMVTX) [MF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
IRA ⇒ Virtus Vontobel Emerging Markets Opportunities Fund Class I (HIEMX) [MF]		\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Other Assets ⇒ ARLINGTON WAREHOUSE INVESTORS II, LTD [OL]	SP	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
LOCATION: ARLINGTON, TX, US DESCRIPTION: INVESTMENT					
Other Assets ⇒ BROOKS KOCH & SORG [OL]	SP	\$1,001 - \$15,000	See Earned Income	None	<input type="checkbox"/>
LOCATION: Indianapolis, IN, US DESCRIPTION: Income Listed in Earned Income COMMENTS: Please note: This asset was placed in this report per guidance from Ethics to clarify ownership of spouse's firm.					
Other Assets ⇒ BROOKS KOCH & SORG, LLC REAL ESTATE (OFFICE BUILDING) [OL]	SP	\$250,001 - \$500,000	Rent	\$15,001 - \$50,000	<input type="checkbox"/>
LOCATION: INDIANAPOLIS, IN, US DESCRIPTION: INVESTMENT					
Other Assets ⇒ FLAGSTAR BANK [BA]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
Other Assets ⇒ O'DAY FARMBROOK, INC - JUSTICE LANE, LLC - VACANT LOT [OL]	SP	\$250,001 - \$500,000	None		<input type="checkbox"/>
LOCATION: Mansfield, TX, US DESCRIPTION: VACANT LOT					
Other Assets ⇒ O'DAY FARMBROOK, INC - PSW OPPORTUNITY FUND - VACANT LOT [OL]	SP	\$100,001 - \$250,000	None		<input type="checkbox"/>
LOCATION: MANSFIELD, TX, US DESCRIPTION: PREVIOUSLY LISTED AS O'DAY FARMBROOK, INC - RTI EQUITY, LLC (VACANT LOT), WHICH WAS ASSIGNED TO PSW OPPORTUNITY FUND IN EXCHANGE FOR THE INTEREST IN PSW FUND					
Other Assets ⇒ O'DAY FARMBROOK, INC - WAREHOUSING FACILITY [OL]	SP	Spouse/DC Over \$1,000,000	Interest, Rent	\$100,001 - \$1,000,000	<input type="checkbox"/>
LOCATION: ARLINGTON, TX, US DESCRIPTION: INVESTMENT					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Other Assets ⇒ O'DAY FARBROOK, INC - WAREHOUSING FACILITY II [OL]	SP	\$500,001 - \$1,000,000	None		<input type="checkbox"/>
LOCATION: MANSFIELD, TX, US DESCRIPTION: WAREHOUSE					
Other Assets ⇒ O'DAY LANDMAN LLC - MINERAL RIGHTS [OL]	SP	\$15,001 - \$50,000	Interest, Royalties	\$5,001 - \$15,000	<input type="checkbox"/>
LOCATION: ARLINGTON, TX, US DESCRIPTION: INVESTMENT					
Other Assets ⇒ Onspira Therapeutics, Inc. [PS]	SP	\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: PHARMACEUTICAL COMPANY INVESTMENT MALVERN, PA					
Other Assets ⇒ RALEXAR THERAPEUTICS, INC. [PS]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
DESCRIPTION: PHARMACEUTICAL COMPANY INVESTMENT MALVERN, PA					
Other Assets ⇒ T.O. HARRIS INVESTORS, LLC [OT]	SP	\$15,001 - \$50,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
DESCRIPTION: INVESTMENT COMMENTS: PLEASE NOTE: THERE ARE NO HARD ASSETS FOR THIS ENTITY AT THIS TIME.					
Other Assets ⇒ Velicept Therapeutics, Inc. [PS]	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: PHARMACEUTICAL COMPANY INVESTMENT MALVERN, PA					
Other Assets ⇒ ZOOMI, INC. [PS]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
DESCRIPTION: TECHNOLOGY SOLUTIONS INVESTMENT MALVERN, PA					
OTHER ASSETS ⇒ Myota, Inc. [PS]		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: INVESTMENT					
Retirement ⇒ TIAA-CREF Lifecycle 2025 Fund Institutional Class (TCYIX) [MF]		\$100,001 - \$250,000	Tax-Deferred		<input type="checkbox"/>

* Asset class details available at the bottom of this form. For the complete list of asset type abbreviations, please visit <https://fd.house.gov/reference/asset-type-codes.aspx>.

SCHEDULE B: TRANSACTIONS

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
IRA ⇒ American Funds EuroPacific Growth Fund Class F2 (AEPFX) [MF]		08/30/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ American Funds Washington Mutual Investors Fund Class F2 (WMFFX) [MF]		07/6/2018	P	\$15,001 - \$50,000	
IRA ⇒ AQR Managed Futures Strategy Fund Class I (AQMIX) [MF]		07/6/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ Baron Small Cap Fund Institutional Class (BSFIX) [MF]		07/6/2018	P	\$15,001 - \$50,000	
IRA ⇒ Baron Small Cap Fund Institutional Class (BSFIX) [MF]		11/30/2018	P	\$1,001 - \$15,000	
IRA ⇒ BlackRock Core Bond Portfolio Institutional Shares (BFMCX) [MF]		07/6/2018	S	\$15,001 - \$50,000	<input type="checkbox"/>
IRA ⇒ BlackRock Global Long/Short Credit Fund Institutional Shares (BGCIX) [MF]		07/6/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ Eaton Vance Global Macro Absolute Return Advantage Fund Class I (EGRIX) [MF]		07/6/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ Eaton Vance Income Fund of Boston Class I (EIBIX) [MF]		07/6/2018	P	\$1,001 - \$15,000	
IRA ⇒ Edgewood Growth Fund Class Institutional (EGFIX) [MF]		07/6/2018	P	\$1,001 - \$15,000	
IRA ⇒ Goldman Sachs TR FINL Square Treas Instrs FD (FTIXX) [MF]		07/9/2018	P	\$1,001 - \$15,000	
IRA ⇒ HARBOR FD CAP APPRECIATION INSTL CL (HACAX) [MF]		12/18/2018	P	\$1,001 - \$15,000	
IRA ⇒		07/6/2018	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Harbor International Fund Institutional Class (HAINX) [MF]					
IRA ⇒ Harbor International Fund Institutional Class (HAINX) [MF]		08/15/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ Harbor Small Cap Value Fund Institutional Class (HASCX) [MF]		07/6/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ Janus Henderson Flexible Bond Fund Class I (JFLEX) [MF]		07/6/2018	P	\$15,001 - \$50,000	
IRA ⇒ Janus Henderson Flexible Bond Fund Class I (JFLEX) [MF]		07/9/2018	P	\$1,001 - \$15,000	
IRA ⇒ Janus Henderson Flexible Bond Fund Class I (JFLEX) [MF]		08/30/2018	P	\$1,001 - \$15,000	
IRA ⇒ John Hancock Funds Absolute Return Currency Fund Class I (JCUIX) [MF]		07/6/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ John Hancock Funds Global Absolute Return Strategies Fund Class I (JHAIX) [MF]		07/6/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ JPMorgan Intrepid Value Fund Class I Shares (JPIVX) [MF]		07/6/2018	S	\$15,001 - \$50,000	<input type="checkbox"/>
IRA ⇒ Lazard Emerging Markets Equity Portfolio Institutional Shares (LZEMX) [MF]		07/6/2018	P	\$1,001 - \$15,000	
IRA ⇒ Meridian Small Cap Growth Fund Investor Shares (MISGX) [MF]		07/6/2018	S	\$15,001 - \$50,000	<input type="checkbox"/>
IRA ⇒ Metropolitan West Total Return Bond Fund Class I (MWTIX) [MF]		07/6/2018	S	\$15,001 - \$50,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
IRA ⇒ MFS SER TR EMERGING MKTS DEBT FD CLASS I (MEDIX) [MF]		08/30/2018	P	\$1,001 - \$15,000	
IRA ⇒ MFS SER TR I VALUE FD CLASS I (MEIIX) [MF]		07/6/2018	P	\$15,001 - \$50,000	
IRA ⇒ Neuberger Berman Long Short Fund Institutional Class (NLSIX) [MF]		07/6/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ Nuveen Real Estate Securities Fund Class I (FARCX) [MF]		07/6/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ Oppenheimer Developing Markets Fund Class Y (ODVYX) [MF]		07/6/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ Oppenheimer International Bond Fund Class Y (OIBYX) [MF]		07/6/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ Oppenheimer International Growth Fund Class Y (OIGYX) [MF]		07/6/2018	P	\$1,001 - \$15,000	
IRA ⇒ Oppenheimer International Growth Fund Class Y (OIGYX) [MF]		08/30/2018	P	\$1,001 - \$15,000	
IRA ⇒ Oppenheimer Main Street Fund Class Y (MIGYX) [MF]		07/6/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ Principal High Yield Fund Institutional Class (PHYTX) [MF]		07/6/2018	S	\$15,001 - \$50,000	<input type="checkbox"/>
IRA ⇒ Principal MidCap Fund Institutional Class (PCBIX) [MF]		07/6/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ T. Rowe Price Mid-Cap Growth Fund (RPMGX) [MF]		07/6/2018	P	\$15,001 - \$50,000	
IRA ⇒ T. Rowe Price Mid-Cap Growth Fund (RPMGX) [MF]		12/14/2018	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
IRA ⇒ T. Rowe Price Overseas Stock Fund (TROSX) [MF]		08/15/2018	P	\$1,001 - \$15,000	
IRA ⇒ T. Rowe Price Real Estate Fund (TRREX) [MF]		07/9/2018	P	\$1,001 - \$15,000	
IRA ⇒ T. Rowe Price Real Estate Fund (TRREX) [MF]		07/6/2018	P	\$15,001 - \$50,000	
IRA ⇒ Victory Sycamore Small Company Opportunity Fund Class I (VSOIX) [MF]		12/20/2018	P	\$1,001 - \$15,000	
IRA ⇒ Virtus Ceredex Mid-Cap Value Equity Fund Class I (SMVTX) [MF]		07/6/2018	P	\$15,001 - \$50,000	
IRA ⇒ Virtus Ceredex Mid-Cap Value Equity Fund Class I (SMVTX) [MF]		12/18/2018	P	\$1,001 - \$15,000	
IRA ⇒ Virtus Vontobel Emerging Markets Opportunities Fund Class I (HIEMX) [MF]		07/6/2018	P	\$1,001 - \$15,000	
Other Assets ⇒ MYOTA, INC. [PS]	SP	04/12/2018	P	\$15,001 - \$50,000	
LOCATION: US DESCRIPTION: INVESTMENT					
Other Assets ⇒ VELICEPT [PS]	SP	01/9/2018	P	\$1,001 - \$15,000	
LOCATION: US DESCRIPTION: INVESTMENT PURCHASE					
Other Assets ⇒ Velicept Therapeutics, Inc. [PS]	SP	07/12/2018	P	\$1,001 - \$15,000	
LOCATION: US DESCRIPTION: INVESTMENT PURCHASE					

* Asset class details available at the bottom of this form. For the complete list of asset type abbreviations, please visit <https://fd.house.gov/reference/asset-type-codes.aspx>.

SCHEDULE C: EARNED INCOME

Source	Type	Amount
BEAM, LONGEST & NEFF LLC	SPOUSE SALARY	N/A
BROOKS, KOCH & SORG	SPOUSE SALARY	N/A

SCHEDULE D: LIABILITIES

Owner Creditor	Date Incurred	Type	Amount of Liability
WELLS FARGO	AUG 2012	PRIMARY RESIDENCE - CARMEL, IN - MORTGAGE	\$250,001 - \$500,000
WELLS FARGO	APRIL 2017	PRIMARY RESIDENCE - LINE OF CREDIT	\$50,001 - \$100,000
CABELA'S VISA	12/31/2018	REVOLVING CHARGE ACCOUNT	\$10,000 - \$15,000

SCHEDULE E: POSITIONS

Position	Name of Organization
BOARD MEMBER	INDIANA UNIVERSITY SCHOOL OF LAW - INDIANAPOLIS - BOARD OF VISITORS
DISTINGUISHED ADVISOR	CHILDREN'S MUSEUM OF INDIANAPOLIS
EMERITUS BOARD MEMBER	WOMEN'S FUND OF CENTRAL INDIANA

SCHEDULE F: AGREEMENTS

None disclosed.

SCHEDULE G: GIFTS

None disclosed.

SCHEDULE H: TRAVEL PAYMENTS AND REIMBURSEMENTS

Source	Trip Details				Inclusions		
	Start Date	End Date	Itinerary	Days at Own Exp.	Lodging?	Food?	Family?
The Ripon Society and The Franklin Center	11/8/2018	11/13/2018	Indianapolis, IN - Paris, France - Washington, DC	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

None disclosed.

SCHEDULE A AND B ASSET CLASS DETAILS

- Insurance
- IRA
- Other Assets (Owner: SP)
LOCATION: US
- OTHER ASSETS
LOCATION: US
- Retirement

EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION

IPO: Did you purchase any shares that were allocated as a part of an Initial Public Offering?

- Yes No

Trusts: Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?

- Yes No

Exemption: Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?

- Yes No

CERTIFICATION AND SIGNATURE

I CERTIFY that the statements I have made on the attached Financial Disclosure Report are true, complete, and correct to the best of my knowledge and belief.

Digitally Signed: Hon. Susan W. Brooks , 05/15/2019